



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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Technology Center 2100

In re application of: **Brown et al.**

Serial No.: **09/931,300**

Filed: **August 16, 2001**

For: **Method, Apparatus, and
Program for Identifying, Restricting,
and Monitoring Data Sent from
Client Computers**

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Group Art Unit: **2183**

Examiner: **Unknown**

Attorney Docket No.: **AUS 20010299US1**

Certificate of Mailing Under 37 C.F.R. § 1.8(a)

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By:

Dell Whitton
Dell Whitton

TRANSMITTAL DOCUMENT

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Assistant Commissioner of Patents
Washington, D.C. 20231

Sir:

ENCLOSED HERewith:

- Information Disclosure Statement;
- Form PTO-1449;
- References AA-AG; and
- Our return postcard.

No fees are believed to be necessary. If, however, any fees are required, I authorize the Commissioner to charge these fees which may be required to Deposit Account No. 09-0447. No extension of time is believed to be necessary. If, however, an extension of time is required, the extension is requested, and I authorize the Commissioner to charge any fees for this extension to Deposit Account No. 09-0447.

Respectfully submitted,

Duke W. Yee

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(972) 367-2001

ATTORNEY FOR APPLICANT

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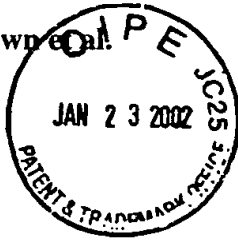
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Attorney Docket No.: **AUS920010299US1**

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. 1.97

Hon. Assistant Commissioner of Patents
Washington, D.C. 20231

Sir:

Applicants request that the information listed on the attached Form PTO-1449 be considered by the Office during the pendency of the above entitled application, pursuant to 37 C.F.R. 1.97.

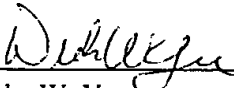
Please charge any fees necessary for prosecution of the present application to Deposit Account No. 09-0447. If any extension of time is required, such extension is hereby requested. Please charge any additional required fee for extension of time to Deposit Account No. 09-0447.

In accordance with 37 C.F.R. 1.97(h), the filing of this Information Disclosure Statement shall not constitute an admission that any information cited therein is, or is considered to be, material to patentability as defined in 37 C.F.R. 1.56(b). In the interest of full and complete disclosure to the Office, some or all of the art cited herein may not be considered by Applicant(s) or the Undersigned to be material under the new standards of materiality defined in 37 C.F.R. 1.56(b), enacted March 16, 1992, but may be material under the old standard of materiality defined in 37 C.F.R. 1.56(a), last amended on November 28, 1988, or may merely be technical background which may be of interest to the Examiner. In accordance with 37 C.F.R. 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

This Information Disclosure Statement is being filed under 37 C.F.R. § 1.97(b) within three months of the filing date of the application, or before the mailing date of a first office action on the merits. No fee is required.

Respectfully submitted,

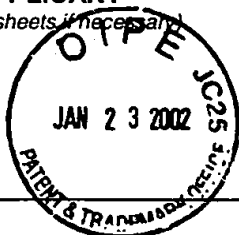
Date: 11/02/01


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Form PTO-1449

LIST OF PRIOR ART CITED
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(Use several sheets if necessary)

ATTORNEY DOCKET NO.
AUS920010299US1SERIAL NO.
09/931,300
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 Technology Center 2
APPLICANT **Brown et al.**FILING DATE **August 16, 2001**GROUP ART UNIT **2183**

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NO.	PUBLICATION DATE	INVENTOR NAME	CLASS/ SUBCLASS	FILING DATE
	AA 5,884,033	Mar. 16, 1999	Duvall et al.	395/200.36	May 15, 1996
	AB 5,867,651	Feb. 2, 1999	Dan et al.	395/200.33	Aug. 27, 1996
	AC 6,009,526	Dec. 28, 1999	Choi	713/200	Sep. 12, 1997
	AD 5,964,839	Oct. 12, 1999	Johnson et al.	709/224	May 27, 1998
	AE 4,901,348	Feb. 13, 1990	Nichols et al.	380/6	Dec. 24, 1985
	AF 6,058,418	May 2, 2000	Kobata	709/221	Feb. 18, 1997

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NO.	PUBLICATION DATE	COUNTRY	CLASS/ SUBCLASS	TRANSLATION YES NO

OTHER PRIOR ART (including author, title, date, pertinent page, etc.)

	AG	IBM Research Disclosure 422118, "System for Detection of Intrusions Based on Sequence Number Irregularities", June 1999, pp. 881-882.

DATE CONSIDERED

EXAMINER

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP § 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.